

**GRANT ASSISTANCE TO LOCAL LAW
ENFORCEMENT AGENCIES PROJECT**

GRANTEE HANDBOOK



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GRANTEE HANDBOOK

INTRODUCTION

This handbook is for agencies that receive grant funds from the California Department of Alcoholic Beverage Control. It outlines the terms and conditions required of grant projects.

Funded projects must administer their grants in accordance with these administrative and fiscal conditions. Failure to comply with these requirements may result in the withholding or disallowance of grant payments, the reduction or termination of the grant award, and/or the denial of future grant awards. All agencies must also comply with the terms and conditions of the standard State contract and the Request for Proposals.

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Chapter 1 - FISCAL PROVISIONS

1.1 Allowable Costs

1.1.1 Local agencies shall be reimbursed for direct costs expended in support of this project as indicated in this chapter.

1.1.2 Salaries

Authorized personnel assigned to the project will be reimbursed for the actual time worked on the project at the actual salary paid to the employee by the local agency as long as that salary rate is the same as that paid to other employees in the same classification performing comparable duties. Personnel assigned to the project shall include a minimum of one sworn officer. Salaries for additional, non-sworn personnel may also be reimbursed.

1.1.3 Overtime

Authorized overtime shall be reimbursed using the same criteria as specified in Paragraph 1.1.2 above.

1.1.4 Employee Benefits

Actual costs of employee benefits (retirement, health, insurance, etc.) for authorized personnel shall be reimbursed except that the amount claimed shall not exceed 30% of salary costs.

1.1.5 Equipment

Equipment purchases up to a total of \$2,500 shall be reimbursed. Each item of equipment proposed for purchase must be specified and must include an estimated cost. Allowable equipment purchases shall be limited to audio visual, surveillance or communications equipment such as mobile radios, portable radios, projectors, cameras and attachments, video tape recorders, audio tape recorders, microphones, television cameras and monitors.

1.1.6 Operating Expense

Operating expenses up to a total of \$2,500 shall be reimbursed. Allowable operating expense shall be limited to Decoy Operations, Shoulder Tap Operations, and Narcotic Investigations. The monies used under this section shall be for the actual running of the operation, such as "buy money."

1.1.7 Travel and Registration Fees

Travel expenses and Registration Fees up to a total of \$2,500 will be reimbursed. Travel costs are allowable for expenses relating to registration fees, transportation, lodging and subsistence. Allowable expenses shall be limited to expenses resulting from attendance at one required training session to be held in the Summer 2003 and one in the Winter 2004.

Travel expenses and Registration Fees incurred by local agency employees must be in accordance with the travel policies and procedures of the local agency. While the local agency may actually pay employees at higher rates, expenses claimed by the local agency for reimbursement by the State under the grant program shall not exceed the following:

- A. Transportation Costs - Transportation costs are paid only for conference-related expenses. Airfare, taxi, rental car, etc. amounts are limited to actual cost as supported by receipt. Private vehicle mileage shall not exceed \$.34 per mile. If an agency-owned vehicle is used to a conference, reimbursement may be claimed at a rate not to exceed \$.34 per mile.
- B. Subsistence Costs - Reimbursable amounts for meals are actual costs not to exceed \$6.00 for breakfast, \$10.00 for lunch and \$18.00 for dinner. Incidental expenses (phone calls, newspapers, etc.) up to \$6.00 for each 24-hour period of travel status may be claimed. If the trip is less than 24 hours, no incidental expense or lunch allowance is authorized.
- C. Lodging Costs - Hotel/motel room charges up to \$84.00 per night plus tax may be claimed for reimbursement. Receipts are required for any lodging costs in excess of \$24.99 per night.

1.2 **Unallowable Costs**

All costs not mentioned in Paragraph 1.1 are the responsibility of the local agency and are not reimbursable. This includes administrative overhead/indirect costs, supplies, evidence purchases, etc.

1.3 **Budget Detail** (Grant funds shall not be used to supplant any existing positions or expenditures.)

- 1.3.1 Local agencies must submit a proposed budget for this project not to exceed \$100,000 as indicated in this chapter. (See Exhibit 1 for sample budget display.)

- 1.3.2 The budget must detail the number of positions by classification, salary rate, percentage of time to be assigned to the project and total salary costs for the grant period.
- 1.3.3 Overtime costs shall include an estimated number of hours by classification, overtime salary rate and total overtime costs for the grant period.
- 1.3.4 Employee benefits may be included in lump sum for the grant period in an amount not to exceed thirty percent (30%) of total salary costs.
- 1.3.5 Each item of equipment must be specified and must include an estimated cost.

1.4 Claims for Reimbursement

- 1.4.1 Local agencies shall submit invoices on a monthly basis to receive payments from the State. The invoices shall be in the format specified by the State.

1.5 Records

- 1.5.1 Applicant agencies shall maintain detailed records to substantiate the amounts claimed for reimbursement. These records (time sheets, payroll records, accounting reports, daily activity reports, etc.) must be maintained for a period of three years from the date of receipt of the final payment for the grant period and must be made available for review by the State upon request.
- 1.5.2 Local agencies shall refund to the State any amounts claimed for reimbursement and paid to local agencies disallowed by the State after audit of the records maintained by local agencies.

1.6 State Budget Act

- 1.6.1 Actual grant awards shall be contingent upon appropriation of funds for this project in the annual State Budget Act.

1.7 Procurement

Grantees may use their own procurement procedures for acquiring allowable equipment.

BUDGET ESTIMATE (SAMPLE)

BUDGET CATEGORY AND LINE-ITEM DETAIL				COST
A. Personnel Services (salaries, overtime and benefits)				(Round all budget amounts to nearest dollar)
1. Salaries				
1.0	Officer I	\$2,600/mo.	100%	\$31,200
1.0	Officer II	\$3,100/mo.	100%	<u>\$37,200</u>
2.0				\$68,400
2. Overtime				\$2,625
Est. 105 hours @ \$25.00 per hour				\$19,836
3. Employee Benefits				
Benefits estimated at 29% x \$68,400				
TOTAL PERSONNEL SERVICES				\$90,861
B. Operating Expenses (Maximum of \$2,500)				
Decoy Operations, Shoulder Tap Operations, and Narcotic Investigations "buy money."				\$2,500
TOTAL OPERATING EXPENSES				\$2,500
C. Equipment (Maximum of \$2,500)				
Computer and monitor (for ASIPS analysis)				\$2,500
TOTAL EQUIPMENT				\$2,500
D. Travel Expense/Registration Fees (Maximum of \$2,500)				
January and July Grant meetings.				\$2,000
Registration Fees				\$500
TOTAL TRAVEL EXPENSE				\$2,500
TOTAL BUDGET ESTIMATE, ALL CATEGORIES				\$98,361

Note: This is a sample budget display only. Applicant agency is to specify the position classification titles used in their agency. ROUND ALL BUDGET AMOUNTS TO THE NEAREST \$100.

Chapter 2 - IMPLEMENTATION AND CONTROL OF APPROVED PROJECTS

2.1 Notice of Approval

The following are the sequential steps the Department of Alcoholic Beverage Control will take in processing grant awards:

1. Applicants submit proposals to ABC
2. ABC receives proposals
3. ABC pre-screens proposals for eligibility
4. Selection committee reads and scores proposals
5. Selection committee submits selection recommendations to the ABC Director
6. ABC Director makes final funding decision
7. ABC sends selection notification letter to all applicants, successful and unsuccessful
8. ABC sends proposed contract documents to Department of General Services, Legal, for review
9. ABC sends approved contract to grant applicant for signature
10. ABC signs contract and sends fully executed copy to applicant

2.2 Effective Date

The contract will show an effective date. Claims for reimbursement may be made only for costs incurred subsequent to that date. No reimbursement will be provided for expenses incurred prior to the effective date or after the project period ending date.

2.3 Project Director Responsibility

The Project Director is responsible for establishing operating procedures and controls which will ensure adequate administration of the project in accordance with the terms of the contract. Emphasis should be given to:

- (a) Monitoring time frames in the contract
- (b) Maintaining costs within the approved amounts for each category
- (c) Maintaining adequate records for validation of project progress and accountability for all funds expended on the project
- (d) Submission of required project reports (See Chapter 3)
- (e) Conducting project evaluation

2.4 ABC Responsibility

The ABC has the responsibility and authority to review and evaluate each project as deemed necessary. Such review and evaluation will be made to assist the grantee to understand and comply with the required procedures and to gain maximum benefits from the funds expended. Agencies should promptly notify their ABC Project Coordinator concerning any changes or problems that arise.

2.5 Liaison with Other Agencies

The ABC encourages meetings between agencies having similar projects in operation for the purpose of coordinating related activities. The ABC will be glad to assist in coordinating such meetings and to provide any information required.

2.6 Revision of Projects

- 2.6.1 Any revision requires prior approval of ABC. Documentation pertaining to requested project revisions must be submitted to and received by the ABC prior to the effective date of the requested changes.
- 2.6.2 Project revisions include any changes in the project agreement that may be necessary to insure the satisfactory completion of the project. Revisions may include budget changes, project director or authorizing official changes and any changes to objectives, project activities, schedules, etc.
- 2.6.3 All requests for a project revision must be initiated in writing by the applicant agency. This request must include a detailed explanation and justification for the change(s).

2.7 Cancellation of Projects

- 2.7.1 The ABC Project Coordinator has the responsibility of recommending to the Director of the ABC the cancellation of any project which is not being implemented in accordance with applicable State laws or the terms of the contract.

2.8 Close Out of Projects

- 2.8.1 Approximately thirty (30) days prior to the termination of the project, a close-out package is mailed to the Project Director. This constitutes a reminder of the final date of the project and includes information to assist the Project Director with the Final Report and the Final Claim for Reimbursement.

Chapter 3 - PROJECT REPORTS

3.1 Purpose

Funded projects are required to participate in data collection and submit progress reports on a timely basis. The purpose of the progress report is to provide the grantee and the Department of Alcoholic Beverage Control with an evaluation of project progress in achieving the objectives.

3.2 Submission

3.2.1 ABC requires all projects to submit two copies of the progress report to ABC's Grant Project Unit. The reports are due on October 15, 2003, January 15, and April 15, 2004. A combined progress/final report is due on June 30, 2004.

3.2.2 Failure to submit Quarterly (progress) Reports on time can delay payment of claims for reimbursement.

3.2.3 Projects are to submit Progress Reports on forms provided by ABC. The narrative portion should be a frank and thorough statement of project activities and progress during the quarter. The following items should be discussed in this summary:

- (a) What work was accomplished? Describe the various tasks that project personnel carried out in relation to the work schedule or phases.
- (b) How much was accomplished? Graphs, charts and diagrams may be included. Include newspaper clippings, press releases issued, etc.
- (c) Were there any problems encountered that affected project progress? What steps were taken to overcome the problems?
- (d) Is the work ahead of schedule, behind schedule or on schedule?
- (e) How will any delay encountered affect the total project cost and time schedule?

3.3 Final Report (combined with 4th Quarter Progress Report)

3.3.1 A final report of project accomplishments is required on or before June 30, 2004. Two copies of the report are required. Final payment on the grant will not be made until the final report has been submitted.

3.3.2 The final report will be used for the following purposes:

- (a) To determine what effect the project had toward reducing or solving the identified alcohol-related problem.
- (b) To determine the contribution of the project to the applicant agency and the State.
- (c) To evaluate the benefits derived in relation to the cost incurred.

3.3.3 Final report format

A creative and resourceful approach is encouraged in preparing the report which must cover, but is not limited to, the following factors:

- (a) Executive Summary - At a minimum, the summary must contain the following: (1) the name of the jurisdiction, department and officials responsible for the project; (2) a summary of the project's title and objectives; (3) an analysis of the approach taken in the operation of the project; (4) an evaluation statement concerning the end product and cost benefits; and (5) a listing of recommended and/or adopted policy or procedure changes occurring as a result of the project.
- (b) Credits - In addition to any other credits the agency wishes to give, the following should be shown in the report: "This project is part of the (ABC Grant Assistance to Local Law Enforcement Project) and was made possible by the Alcoholic Beverage Control Fund."
- (c) Disclaimer - The final report must include the following: "The opinions, findings and conclusions expressed in this publication are those of the authors and not necessarily those of the State of California, Business, Transportation and Housing Agency or the Department of Alcoholic Beverage Control."
- (d) Project Personnel - Identify the key personnel who worked on the project, together with their job classification and a brief description of their contribution.
- (e) Objectives - Restate the objectives of the project as identified in the contract. This will allow analysis of the report as a self-contained document.

- (f) Methodology - Describe in detail how the project was implemented. This description should speak specifically on how each activity identified in the project narrative was accomplished.
- (g) Problems - Describe any operational or cost problems that were encountered in project implementation. If known, state alternative methods that would have avoided the problem and increased the effectiveness of the project.
- (h) Results - Describe in detail the results of the project in terms of meeting the original objectives as stated in the project agreement. Also, describe the results in terms of how they will be specifically applied for future improvement of the agency's continuing activities relating to alcohol problem prevention and enforcement. Where possible, describe estimated savings resulting from implementing project results.
- (i) Implementation Schedule - Outline the actual and/or planned schedule for implementation of the project results, recommendations or countermeasures. Include the amounts budgeted for immediate implementation or the estimated fiscal requirements for future plans.
- (j) Documentation - Include as part of the Final Report, input and output documents developed. Examples are: new or revised forms, diagrams, management reports, photos, coding manuals, instructional manuals, etc. Other agencies may be able to adapt this material for their benefit.